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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission **14**Application Number **09/480,724**Filing Date **January 7, 2000**First Named Inventor **Robert Carey et al.**Group Art Unit **3628**Examiner Name **H. Dass**Attorney Docket Number **12640US01****ENCLOSURES (check all that apply)** Fee Transmittal Form Fee Attached Amendment/Reply After Final Affidavits/declaration(s) Extension of Time Request Express Abandonment Request Information Disclosure Statement PTO 1449/08A with references Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 Assignment Papers (for an Application) Drawing(s) (sheets) Licensing-related Papers Petition Petition to Convert to a Provisional Application Power of Attorney, Revocation Change of Correspondence Address Terminal Disclaimer Request for Refund CD Number of CD(s) _____ After Allowance Communication to Group Appeal Communication to Board of Appeals and Interferences Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) Proprietary Information Status Letter Other Enclosure(s) (please identify below):

Return receipt postcard

Remarks

The Commissioner is authorized to charge any deficiencies or credit any overpayment to Deposit Account No. 13-0017.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name

Ronald E. Larson, Esq.
McAndrews Held & Malloy, Ltd.

Signature

Date

July 27, 2004

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 27, 2004

Name (Print/type)	Ronald E. Larson	Registration No. (Attorney/Agent)	24,478
Signature		Date	July 27, 2004



3628
ZFW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Case No. 12640US01

PATENT

In the Application of:

ROBERT CAREY et al.

Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING
SECURITIES FOR A PORTFOLIO

Examiner: Harish T. Dass

Group Art Unit: 3628

Confirmation No.: 4660

CERTIFICATE OF MAILING

I hereby certify that this correspondence is
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By: Ronald E. Larson
Ronald E. Larson
Reg. No. 24,478

AMENDMENT D

MAIL STOP AMENDMENT
Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

Dear Sir:

In response to the Office Action dated April 29, 2004, kindly amend the above-
identified application as follows:

AMENDMENTS TO THE SPECIFICATION:

None.